



IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Kay-Yut Chen et al

Confirmation No.:

Application No.: 09/858251

Examiner:

Filing Date: May 15, 2001

Group Art Unit:

Title: An Automated Decision Support System For Designing Auctions

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a petition under 37 CFR 1.97(d)(2), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 07/27/01

Typed Name: Tiffany Turner

Signature:

Respectfully submitted,

Kay-Yut Chen et al

By

Thomas X Li

Attorney/Agent for Applicant(s)  
Reg. No. 37,079

Date: 07/27/01



## PATENT APPLICATION

Sheet 1 of 1

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10014416-1

APPLICATION NO.

09/858,251

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APPLICANT

Kay Yut Chen

FILING DATE

05/15/01

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A					
	1B					
	1C					
	1D					
	1E					
	1F					
	1G					
	1H					
	1I					
	1J					
	1K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	1L							
	1M							
	1N							
	1O							
	1P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	Econimetrica, A theory of Auctions and Competitive Bidding, Paul R. Milgrom, 09/1982
	1R	Journal Of Economic Literature, Auctions and Bidding, R. Preston McAfee, 06/1987, pages 699-738
	1S	Journal of Economic Perpspectives, Auctions and Bidding: A Primer, Paul Milgrom, Summer 1989, Pages 3-22

EXAMINER

DATE CONSIDERED



## PATENT APPLICATION

Sheet 2 of 2

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	2J					
	2K					

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							YES	NO
	2L							
	2M							
	2N							
	2O							
	2P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	Strategic Analysis of Auctions, Robert Wilson, February 1990
2R	Structural Econometric Models of Strategic Behavior, Structural Analysis of Auction Data, Jean-Jacques Laffont
2S	Structural Econometrics of First-Price Auctions: A Survey of Methods, Isabelle Perrigne, June 1999

EXAMINER

DATE CONSIDERED